

053755-5001

**PATENT**  
**ATTORNEY DOCKET NO.: 053755-5001**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:	Bradley J. McGill	:	
	Evan J. Winston	:	
Serial No.:	Not Yet Assigned	:	Group Art Unit:
Filed:	Concurrently Herewith	:	Examiner: Unassigned
For:	DERIVATIVE SECURITIES AND SYSTEM FOR TRADING SAME	:	

Assistant Commissioner for Patents  
Washington, D.C. 20231

**DECLARATION FOR PATENT APPLICATION**

Sir:

As a below-named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am an original, first, and joint inventor of the subject matter that is claimed and for which a patent is sought on the invention entitled **DERIVATIVE SECURITIES AND SYSTEM FOR TRADING SAME**, the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).


I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56, which became available between the filing date of the prior application and the national or PCT international filing date of this application.

**PATENT**  
**ATTORNEY DOCKET NO.: 053775-5001**  
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PCT/US01/11748      May 4, 2001      Pending  
 (Application Serial No.)      (Filing Date)      (Status - patented, pending, abandoned)

\_\_\_\_\_  
 (Application Serial No.)      (Filing Date)      (Status - patented, pending, abandoned)

I hereby declare that all statements made herein of my knowledge are true and that all statements made of information and belief are believed to be true; and further that these statements were made with a knowledge that willful false statements in like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

INVENTOR 1		
Family Name McGill	First Given Name Bradley	Second Given Name J.
City Birmingham AL	State / Country Alabama, U.S.A.	Citizenship U.S.A.
Post Office Address 616 Euclid Avenue	City Birmingham	State Alabama 35213
Date 15 May, 2001	Signature 	

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I-PI/78733.1

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Filed: Concurrently Herewith	)	
	)	
For: DERIVATIVE SECURITIES AND	)	
SYSTEM FOR TRADING SAME	)	

**POWER OF ATTORNEY BY ASSIGNEE**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned Assignee of the entire interest in the above-identified application hereby grants power of attorney to the registered practitioners of Morgan, Lewis & Bockius LLP included in the Customer Number provided below to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and direct that all correspondence be addressed to:

**Customer Number 009629**  
Patent Support Unit  
Morgan, Lewis & Bockius LLP  
1800 M Street, N.W.  
Washington, D.C. 20036-5869  
202-467-7176 (facsimile)

Please direct all telephone calls to Lesley L. Coulson at 412-560-3300.

10057492-000001  
ATTORNEY DOCKET NO.: 053775-5001  
SOLE/JOINT INVENTION  
(Worldwide Rights)

### ASSIGNMENT

WHEREAS I/We, the below named inventor(s), [hereinafter referred to as Assignor(s)], have made an invention entitled:

#### DERIVATIVE SECURITIES AND SYSTEM FOR TRADING SAME

for Patent Cooperation Treaty Application No. PCT/US01/11748, filed May 4, 2001 and for which we executed an application for United States Letters Patent concurrently herewith; and

WHEREAS, DELTA Rangers, Inc., a corporation of Delaware, whose mailing address is 616 Euclid Avenue, Birmingham, Alabama 35213 (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention in all countries throughout the world, and in and to the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that, for and in consideration of the sum of One Dollar (\$1.00) in hand paid and other good and valuable consideration the receipt of which from assignee is hereby acknowledged, I/WE, as assignor(s), have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the assignee, its lawful successors and assigns, MY/OUR entire right, title, and interest in and to this invention and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of such application, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof; and I/WE hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, I/WE HEREBY covenant that I/WE have the full right to convey the interest assigned by this Assignment, and I/WE have not executed and will not execute any agreement in conflict with this Assignment;

AND, I/WE HEREBY further covenant and agree that I/WE will, without further consideration, communicate with assignee, its successors and assigns, any facts known to ME/US respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said assignee, its successors or assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States and any foreign country, it being understood that any expense incident to the execution of such papers shall be borne by the assignee, its successors and assigns.

IN TESTIMONY WHEREOF, I/WE have hereunto set our hand(s).

County of <u>JEFFERSON</u>	<u>Bradley J. McGill</u> Full Name of Sole or First Assignor
State of <u>ALABAMA</u>	SS. <u>616 Euclid Avenue, Birmingham, Alabama 35213</u> Address
Subscribed and sworn to before me This <u>15</u> day of <u>MAY</u> , 2001.	<u>[Signature]</u> First Assignor's Signature
<u>[Signature]</u> Notary Public	<u>15 May, 2001</u> Date
Names of additional inventors attached [X] Yes [ ] No	

Morgan, Lewis & Bockius LLP

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AND, I/WE HEREBY covenant that I/WE have the full right to convey the interest assigned by this Assignment, and I/WE have not executed and will not execute any agreement in conflict with this Assignment;

AND, I/WE HEREBY further covenant and agree that I/WE will, without further consideration, communicate with assignee, its successors and assigns, any facts known to ME/US respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said assignee, its successors or assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States and any foreign country, it being understood that any expense incident to the execution of such papers shall be borne by the assignee, its successors and assigns.

IN TESTIMONY WHEREOF, I/WE have hereunto set our hand(s).

County of _____	_____
State of _____	_____
Subscribed and sworn to before me This __ day of _____, 2001.	SS. <u>616 Euclid Avenue, Birmingham, Alabama 35213</u> Address
_____ Notary Public	_____ First Assignor's Signature
	_____ Date
Names of additional inventors attached [ X ] Yes [ ] No	

ATTORNEY DOCKET NO.: 053775-5001  
SOLE/JOINT INVENTION  
(Worldwide Rights)

County of New York

State of NY

Subscribed and sworn to before me  
this 16 day of May, 2001.

Chuan Wang Notary Public

Evan J. Winston  
Full Name of Second Assignor

SS. 12 Stuyvesant Oval #10F, New York, NY 10009  
Address

[Signature]  
Second Assignor's Signature

5/16/2001  
Date

CHUAN WANG  
Notary Public, State of New York  
No. 01WA6002716  
Qualified in Suffolk County  
Commission Expires Feb. 17, 2002